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PTO/SB/01 (12-87)

Approved for use through 9/30/00. OMB 0551-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

☐ Declaration  
Submitted  
with Initial  
Filing

OR

☒ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number 21828-702

First Named Inventor Rademacher et al.

## COMPLETE IF KNOWN

Application Number 09 / 254,797

Filing Date September 11, 1997

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Cyclitol Containing Carbohydrates from Human Tissue which  
Regulate Lipogenic Activity**

the specification of which

(Title of the invention)

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 09/11/1997 as United States Application Number or PCT International

Application Number PCT/GB97/02444 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
PCT/GB97/02444	PCT	09/11/1997	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
9618930.3	United Kingdom	09/11/1996	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s) Filing Date (MM/DD/YYYY)

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

(July 1998)

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PTO/SB-01 (12-97)

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/GB97/02444	09/11/1997	

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB-025 attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number  OR  
☒ Registered practitioner(s) name/registration number listed below

Place Customer Number Bar Code Label here

Name	Registration Number	Name	Registration Number
John W. Calkins	P43,523	Emily M. Haliday	38,903
Darren E. Donnelly	P44,093	Richard Hung	P43,684
Carol M. Gruppi	37,341	Margaret Chu Ikeya	P43,549
J. David Hadden	40,629	Andrew A. Kumamoto	40,690

☒ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB-026 attached hereto

Direct all correspondence to: ☐ Customer Number or Bar Code Label  OR ☒ Correspondence address below

Name	Emily M. Haliday				
Address	McCutchen, Doyle, Brown & Enersen LLP				
Address	Three Embarcadero Center				
City	San Francisco	State	CA	Zip	94111
Country	US	Telephone	(650)849-4910	Fax	(650)849-4800

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:  ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle if any): Thomas William  
Family Name or Surname: Rademacher

Inventor's Signature				Date	1/5/99
Residence: City	Oxford	State		Country	United Kingdom
				Citizenship	US
Post Office Address	Foxcombe, The Ridgeway, Boars Hill				
Post Office Address					
City	Oxford	State		Zip	OX1 3QU
				Country	United Kingdom


☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB-02A attached hereto

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# DECLARATION

ADDITIONAL INVENTOR(S)  
 Supplemental Sheet  
 Page 4 of 4

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Hugo				Caro			
Inventor's Signature				Date		18/5/99	
Residence: City		Herts		State		Country	
				United Kingdom		Citizenship AR	
Post Office Address 44 Bedford Avenue, Barnet							
Post Office Address							
City		Herts		State		ZIP	
				EN5 2EP		Country United Kingdom	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City				State		Country	
						Citizenship	
Post Office Address							
Post Office Address							
City				State		ZIP	
						Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City				State		Country	
						Citizenship	
Post Office Address							
Post Office Address							
City				State		ZIP	
						Country	

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DECLARATION		REGISTERED PRACTITIONER INFORMATION (Supplemental Sheet)	
Name	Registration Number	Name	Registration Number
Gina Pavlovic	42,986		
Michael J. Shuster	41,310		
Nina K. Srejovic	40,342		
William E. Thomson, Jr.	20,719		
Richard E. Wawrzyniak	36,048		
Rajiv Yadav	43,999		

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
 (37 CFR 1.9(f) & 1.27(e))—SMALL BUSINESS CONCERN**

Docket Number (Optional)  
 21828-702

Applicant, Patentee, or Identifier: Rademacher Group Limited  
 Application or Patent No.: Not Yet Assigned  
 Filed or Issued: Herewith  
 Title: CYCLITOL CONTAINING CARBOHYDRATES FROM HUMAN TISSUE WHICH REGULATE LIPÖGENIC ACTIVITY

I hereby state that I am  
☐ the owner of the small business concern identified below;  
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN Rademacher Group Limited

ADDRESS OF SMALL BUSINESS CONCERN Bouverie House, 154 Fleet Street,  
 London EC4 2HX, Great Britain

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.3(e).

- Each person, concern, or organization having any rights in the invention is listed below:  
☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Thomas W. Rademacher

TITLE OF PERSON IF OTHER THAN OWNER Director

ADDRESS OF PERSON SIGNING Bouverie House, 154 Fleet Street, London EC4 2HX,  
 Great Britain

SIGNATURE Thomas W. Rademacher DATE 27/3/99

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